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PATENT

(Practitioner's Docket No. IN-5475)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

BRADFORD, et al.

US Serial No. 09/940,748

Filed: August 28, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

#12  
07/09/03  
RECEIVED  
JUN 23 2003  
TC 1700

For: DUAL CURE COATING COMPOSITION AND PROCESSES FOR USING THE SAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

For the reference entitled "UV-Curable Waterborne Polyurethane Dispersions for Sealing Composite Automotive Body Panels", Aaron Lockhart, International Coatings for Plastics Symposium, Dated June 9-11, 2003, an advance copy of this reference was received on May 28, 2003.

COPIES PROVIDED:

☒ Legible copies of all items listed on Form **PTO-1449** accompany this information statement.

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. , all filed on August 28, 2001. The references on Form **PTO-1449**, were submitted to and/or cited by the Office for these prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

☐ There are no foreign language documents listed on Form PTO-1449.

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Information Disclosure Statement

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- ☒ The following non-English language references were cited in the specification or in a parent application. The English language equivalents for these references are being submitted in addition to/substitution for the non-English references.

Cited Art	Equivalent
DE 197 16 020	6,335,397
DE 199 20 799	10/018,106
DE 199 24 674	09/926,532
DE 199 30 067	10/018,703
DE 199 30 664	10/018,352
DE 199 30 665	10/018,351
DE 101 13 884.9 WO02074872	Translation
WO98/40170	6,333,077

- ☐ English language abstract for the following non-English references are enclosed.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☐ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☒ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

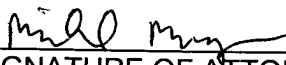
Information Disclosure Statement  
Page 3

- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☒ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Reg. No.: **42,906**

Tel. No.: ( 248 ) 948-2355

  
\_\_\_\_\_  
SIGNATURE OF ATTORNEY and DATE  
**Michael F. Morgan June 17, 2003**  
Type or print name of attorney  
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Customer No. 26922

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5475

## LIST OF ART CITED BY APPLICANT

(Use sever of sheets if necessary)

In re Application of: BALCH, et al.

Serial No.: 09/940,748

Filed: June 4, 2003

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JUN 23 2003  
TC 1700

## U.S. PATENT DOCUMENTS

AA	4,618,632	10/21/86	Su	522	43	2/7/85
AB	5,610,224	3/11/97	DePue et al.	524	538	7/29/96
AC	6,265,476	7/24/01	Krongauz et al.	524	262	10/4/99
AD	6,335,397	01/01/02	Kokel et al.	524	507	4/2/98
AE	6,333,077	12/25/01	Maag et al.	427	496	3/6/98

## FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AF	DE19920799	16.11.00	DE	C095	175/00		X
	AG	DE10113884	10.10.02	DE	B05D	7/00		X
	AH	EP 0 401 892	25.05.90	EP	C09D	167/06		X
	AI	DE19924674	30.11.00	DE	C09D	5/00		X
	AJ	DE19930067	11.1.01	DE	C09D	133/04		X
	AK	DE19930664	11.1.01	DE	C09D	125/02		X
	AL	DE19930665	11.1.01	DE	C09D	125/02		X
	AM	DE19716020	22.10.98	DE	C08J	3/03		X
		WO98/40170	17.09.98	WO	B05D	3/06		X
		WO02/074872	26.09.02	WO	C09D	175/04		X

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AN	Aaron LOCKHART, Bayer Polymers, Pittsburgh, PA, entitled "UV-Curable Waterborne Polyurethane Dispersions for Sealing Composite Automotive Body Panels", International Coatings for Plastics Symposium, Dated June 9-11, 2003
AO	IN-5704, Translation of DE10113884.9, entitled "Coating Microporous Surfaces" March 21, 2001, pages 1-50 and the abstract.
AP	IN-5528, USSN 10/018,106 "Coating material curable thermally and with actinic radiation, and its use" Dated 10/30/2001, pages 1-35.
AQ	IN-5549, USSN 10/018,351, filed on 12/07/01, entitled "Based coat and its use for producing color and/or effect-producing base coatings and multi-layer coatings" pages 1-88 and abstract.
AR	IN-5547, USSN 10/018,352, filed 12/07/2001, entitled Varnish and its use for producing varnish coatings and color-and/or effect-producing multi-layer coatings" pages 1-91
AS	IN-5545, USSN 10/018,703, filed 12/13/2001, entitled "Coating material and its use for producing filler coats and stone impact protection primers", pages 1-78 and abstract.
AT	IN-5538, USSN 09/926,532, filed 11/16/2001, entitled "Coating material that can be cured thermally or by actinic radiation, and its use", pages 1-
EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".